

Alabama State Board of Registration for Interior Designers

Functional Analysis & Records Disposition Authority

**Revision
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State Records Commission
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Functional and Organizational Analysis of the Alabama State Board of Registration for Interior Designers

Sources of Information

Representatives of the Alabama State Board of Registration for Interior Designers

Shirley E. Hammond, Chairperson

Mary Lou Rose, Administrative Assistant

Code of Alabama 1975, Sections 34-15A-1 through 34-15A-7

Code of Alabama 1975, Section 41-22-1 through 41-22-27 (Administrative Procedures Act)

Alabama Government Manual (1998)

Government Records Division, State Agency Files (1985-ongoing)

Historical Context

The state legislature established the board in 1982 to examine and register interior designers and to supervise the profession and practice of interior design. The profession was not regulated prior to the creation of the board.

Agency Organization

The board, appointed by the governor, consists of five members as follows: three members who have been in the practice of, or engaged in the teaching of, interior design; one member who has been in active practice as an architect, or engaged in the teaching of architecture; and one member who is a layman. No member may serve more than two consecutive terms of five years. The board elects a chairman and a secretary from its members, meets at least twice per year, and may employ necessary support staff.

Agency Function and Subfunctions

The mandated function of the Alabama State Board of Registration for Interior Designers is to examine and register applicants as interior designers and to supervise the practice of interior design. The board is one of the agencies primarily involved in carrying out the Regulatory function of Alabama government. In the performance of its mandated function, the board may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** In accordance with the Administrative Procedures Act (Code of Alabama 1975, Section 41-22-3), the board has the authority to prescribe rules and regulations for certification in, and practice of, interior design. The board

also develops appropriate procedures or techniques for the implementation of the rules and regulations. This subfunction encompasses activities pertaining to the establishment and promulgation of rules, regulations, and procedures by the board for carrying out its duties and responsibilities.

- **Registering.** Interior design is defined as the activities performed in connection with the design, utilization, furnishing, or fabrication of elements in interior spaces in buildings, homes, and related structures. Individuals wishing to perform interior design in the state must be registered with the board. Prior to registration, an applicant must make application to the board and show evidence that the applicant has satisfactorily completed the required number of hours of education and work experience related to the field of interior design, and must satisfactorily pass a written examination or provide evidence of registration in another state whose requirements for registration are equivalent to Alabama's requirements. Examinations are administered and graded by the National Council for Interior Design Qualification (NCIDQ). Results are sent to the board. Once an applicant is approved by the board, a letter is sent to the Secretary of State's office. The Secretary of State's office signs the certificate of registration, which is sent back to the board for forwarding to the registrant, and enters the registrant's name into a register.
- **Investigating.** The board may conduct investigations and hold hearings concerning any matter relating to the practice of interior design in the state and may call witnesses, administer oaths and affirmations, receive evidence, and seek legal or equitable relief from the state circuit courts against persons who violate laws regarding the practice of interior design (Code of Alabama 1975, Section 34-15A-6).
- **Administering Internal Operations.** A significant portion of the agency's activities include general administrative, financial, and personnel activities geared toward the internal functioning of the agency. These administrative duties are grouped together under the subfunction Administering Internal Operations. Administering Internal Operations includes the following groups of activities:

Managing the Agency: Activities include internal office management activities common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records, and managing information systems and technology.

Managing Finances: Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the state Finance Department; documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and

reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; assisting in the audit process; investing; and issuing bonds.

Managing Human Resources: Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees, such as leave, health insurance, unemployment compensation, worker's compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, promoting, granting leave, and monitoring the accumulation of leave; training and providing continuing education for employees; and disciplining.

Managing Properties, Facilities, and Resources: Activities include: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing security for property owned by the agency; insuring property; and assigning, inspecting and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Alabama State Board of Registration for Interior Designers

Agency Record Keeping System

The Alabama State Board of Registration for Interior Designers operates a hybrid system composed of a computer system and paper record-keeping.

Computer Systems: The board currently has two computers that operates Windows 98 and utilizes MS Office. Information in the licensee database is compiled from paper records. The board has e-mail through an account with BellSouth.

Paper-based System: The board continues to maintain most of its records in paper form. Currently, no records are stored off-site.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama State Board of Registration for Interior Designers: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered their active life and be disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the Alabama State Board of Registration for Interior Designers are discussed below.

- **Registration Files.** The registration files are created when an applicant is approved for registration. The files contain all information required for approval of the application. The agency recommends a retention of 35 years after the registration files become inactive.
- **Application/Inquiry Files.** These files are created when someone applies or inquires about application to the board. When the application is approved by the board, the files become registration files with a retention of 35 years after becoming inactive. The agency recommends a retention of 7 years after date of last documentation.
- **Violation Reports.** A violation report is any complaint filed with the board. Most complaints consist of notification to the board concerning an advertisement to perform interior design without being registered. The board sends a letter of reprimand to violators. If the violation continues, the matter may proceed to a hearing and penalties may be imposed. The agency recommends a retention of 15 years after closure.

- **Records Documenting an Employee's Work History.** These records, which are generally maintained as case files, are scheduled for shorter retention in most agencies because the Department of Personnel maintains its copies of the records for much longer. Because the board does not utilize the merit system, the Department of Personnel does not have a copy of the records. The agency recommends a retention of 25 years after separation of an employee from the agency.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Promulgating Rules and Regulations

- **Minutes of the Board.** The meeting minutes of the board document the decisions and actions of the board. These records provide important information and documentation of the board's actions that may not be found elsewhere. (RDA page 3-2) **(Bibliographic Title: Meeting Minutes)**

Registering

- **Annual Rosters of Current Registrants.** The board annually prints out a listing of all current registrants. The roster provides easy reference to the staff, as well as to other licensees and the public. The roster is the only source of annual registration information as the registration information is not reflected in the minutes of the board. (RDA page 3-2) **(Bibliographic Title: Annual Rosters of Current Registrants)**
- **State Examinations and Answer Keys.** The board is responsible for creating and administering a state examination. One copy of the examination with answers is useful in documenting the changes in focus of testing for licensure over time. (RDA page 3-2) **(Bibliographic Title: State Examinations and Answer Keys)**

Investigating

- Records documenting this subfunction are found in the agency's meeting minutes as described in the Promulgating Rules and Regulations subfunction above.

Administering Internal Operations

- **Annual Reports.** The annual reports are summary documentation of the activities of the board. (RDA page 3-3) **(Bibliographic Title: Annual Reports)**

Permanent Records List

Board of Registration for Interior Designers

Promulgating Rules and Regulations

1. Minutes of the Board

Registering

1. Annual Roster of Current Registrants
2. State Examinations and Answer Keys

Administering Internal Operations:

1. Annual Reports

Alabama State Board of Registration for Interior Designers Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the board.

The RDA lists records created and maintained by the Board of Registration for Interior Designers Records Disposition Authority in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Board of Registration for Interior Designers Records Disposition Authority to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Board of Registration for Interior Designers' records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal

purposes that may include, *but are not limited to*, telephone call-back messages, drafts of ordinary documents not needed for their evidential value, copies of material sent for information purposes but not needed by the receiving office for future business, and internal communications about agency social activities. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Board of Registration for Interior Designers and lists the groups of records created and/or maintained by the board as a result of activities and transactions performed in carrying out these subfunctions. The board may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

■ **Promulgating Rules and Regulations**

Register of Administrative Rules

Disposition: Retain in Office (Code of Alabama 1975, Sections 41-22-6).

Administrative Rule Files

Disposition: Temporary Record. Retain for useful life.

MINUTES OF THE BOARD

Disposition: PERMANENT RECORD.

■ **Registering**

Registration Files

Disposition: Temporary Record. Retain 35 years after becoming inactive.

Application/Inquiry Files

Disposition: Temporary Record. Retain 7 years after date of last documentation.

ANNUAL ROSTERS OF CURRENT REGISTRANTS

Disposition: PERMANENT RECORD.

Licensee Database

Disposition: Temporary Record. Retain until superseded or obsolete.

STATE EXAMINATIONS AND ANSWER KEYS

Disposition: PERMANENT RECORD.

Examination Work papers

Disposition: Temporary Record. Retain for useful life.

■ **Investigating**

Violation Reports

Disposition: Temporary Record. Retain 15 years after closure.

■ **Administering Internal Operations**

Managing the Agency:

Board Meeting Notices

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Listing of Board Members

Disposition: Temporary Record. Retain until superseded.

Appointments to the Board

Disposition: Temporary Record. Retain until completion of one audit and the release of the audit report after the end of the fiscal year in which the member's term is expired.

ANNUAL REPORT

Disposition: PERMANENT RECORD.

Internal Procedures

Disposition: Temporary Record. Retain until superceded.

Calendars

Disposition: Temporary Record. Retain 1 year.

Requests for Information

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Routine Correspondence

Disposition: Temporary Record. Retain 7 years.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency's RDA (copies of transmittals forms to Archives or State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the RDA was superseded.

System Documentation (hardware/software manuals and diskettes, warranties, Y2K Records)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

Recycling Plan

Disposition: Temporary Record. Retain until superseded.

Managing Finances:

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Contractual records established for the purpose of services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

Disposition: Retain in office (Code of Alabama 1975, Sections 41-16-20 to 41-16-24).

Agency Audit Reports

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

Managing Human Resources:

Job Recruitment Materials

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting salary and wages

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting payroll deductions for tax purposes

Disposition: Temporary Record. Retain 50 years after separation of an employee from the agency

Records documenting an employee's work history - generally maintained as a case file

Disposition: Temporary Record. Retain 25 years after separation of an employee from the agency.

Application Materials

Disposition: Temporary Record. Retain 1 year.

Position Classification Questionnaire

Disposition: Temporary Record. Retain 4 years after reclassification of the position.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting employee hours worked, leave earned, and leave taken

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Managing Properties, Facilities, and Resources:

Semiannual Inventory Lists

Disposition: Retain in office (Code of Alabama 1975, Section 36-16-8[1]).

Agency Copies of Transfer of State Property Forms (SD-1)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the items were removed from inventory.

Property Inventory Affidavits

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles (including aircraft) owned by the agency

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the vehicle was removed from the property inventory.

Approval of Records Disposition Authority

By signing this agreement the Board of Registration for Interior Designers acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Board of Registration for Interior Designers will designate a managerial position as the agency records officer. This position is responsible for ensuring the development of quality record keeping systems that meet the business and legal needs of the department, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, submitting an annual report on records management activities to the State Records Commission in October of each year, and ensuring the regular implementation of the department's approved RDA.
- Permanent records in the Board of Registration for Interior Designers custody will be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The Board of Registration for Interior Designers should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records'

permanent preservation and accessibility.

- The Board of Registration for Interior Designers agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the board and to inspect records destruction documentation. Government Records Division archivists are available to train the department's staff in RDA implementation and otherwise assist the agency in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____
Jerri Jordan Hinkle, Chairperson
Alabama State Board of Registration for Interior Designers

By: _____ Date: _____
Edwin C. Bridges, Chairman
State Records Commission